

TECHNOLOGY TRANSFER CONTROL PLAN **DEVELOPMENT GUIDELINES**

Revision 1.2

April 6, 2005

Defense Technology Security Administration / Space Directorate

Technology Transfer Control Plan Point of Contacts:

Frank Aderton, 703-325-3071, franklin.aderton@osd.mil
Bruce Cathell, 703-325-4252, bruce.cathell@osd.mil

TECHNOLOGY TRANSFER CONTROL PLAN **DEVELOPMENT GUIDELINES**

REQUIREMENT

Per the Arms Export Control Act implemented IAW 22 CFR 120-130 (ITAR), defense articles require export controls.

PURPOSE

The purpose of the Technology Transfer Control Plan (TTCP) is to first tell, then demonstrate to, the U.S. Government how you intend to maintain the appropriate controls to remain within scope of your export authorization.

ESSENTIAL ELEMENTS OF A TTCP

Conceptually, the TTCP contains ALL documentation, via attachments, that are relevant to the current export authorization; i.e., the TTCP must be complete unto itself. This means anyone picking up the TTCP will have at their fingertips, literally, a complete, unabridged compendium of the export(s) and its authorization(s). In order to achieve such completeness, TTCPs must include, at a minimum, the following:

- 1) The executed export authority (if an agreement, preferably with signatures but acceptable without), complete with ALL attachments, for all amendments (again, if an agreement). For instance, for TA 1234-00C, the complete TAA documentation includes the basic TAA with all attachments, as executed by all parties; the "A" amendment, with all attachments; "B", with all attachments; and "C", with all attachments. It doesn't matter whether the attachments for a later amendment are the same as, or duplicates of, an earlier amendment--ALL respective TAA attachments (e.g., Exhibits, Appendices, SOW, etc.) directly related and applicable to the respective export authority must be included. These do not include copies of previous amendments, related licenses, or corresponding DTC approvals which may have been part of the export request originally submitted to State. Also, an agreement is considered to be the "basic" when it meets one of the following three conditions: 1) it actually is the basic agreement, i.e., the initial TAA; 2) its amendment approval is cited as the "Initial Approval", which usually occurs when the original TAA is returned without action or denied; 3) its amendment approval supersedes all previous limitations and conditions (provisos).
- 2) Copies of the original DTC Approval Letter corresponding to the basic TAA and each amendment cited in Item 1, above.

SUBMITTING A DRAFT TTCP TO DTSA

- 1) ALL draft TTCPs for DTSA review, whether newly developed or just being revised, **must** be submitted via email to ttcp.review@osd.mil.
- 2) All essential elements (identified above) as a part of a draft TTCP must be submitted unless that information already exists in Spacelink as a License File (described in detail in Section 5.3.3). Therefore, the only information that qualifies for this exception is that which would normally be included in Appendix A (copies of executed export authorization, complete with attachments, and any amendments thereto) and Appendix B (State approvals for each export authorization identified in Appendix A). If using this exception, state in the respective appendix that the information has already been uploaded to Spacelink.

Example: You've been submitting technical data against TA 1234-00A via Spacelink, which means you already have uploaded the respective License Files: DTC approval to the base agreement with the agreement itself, complete with all attachments; DTC approval for "A" along with the amendment, complete with all attachments; the TTCP approval with the TTCP itself. Now, let's say you just received approval for TA 1234-00B, and it requires an update to the TTCP. When you submit your draft TTCP to ttcp.review@osd.mil, you only need to include: in Appendix A, the "B" amendment along with any attachments; in Appendix B, the corresponding DTC Approval Letter. You would also state, in the respective appendix, that the base agreement, the "A" amendment, and related State approvals have already been uploaded into Spacelink. Another option is to pre-load "B" and its approval into Spacelink before or at the same time you submit the draft TTCP for review via ttcp.review@osd.mil. If you choose to do this, then you wouldn't have to include the "B" amendment or its approval as a part of the draft TTCP. Conversely, if you haven't uploaded the agreements or amendments thereto, along with the approvals, to Spacelink already, you would have to include those in the respective appendices as part of the draft TTCP submittal.

- 3) TTCPs which don't require DTSA review/approval may be uploaded directly into Spacelink. Typically, these are relegated to TTCP updates which are solely editorial in nature.

GENERAL INSTRUCTIONS

- 1) Rather than provide you with a "fill-in the blank" format, we have identified sections you must address and include, at a minimum, in your TTCP. Beyond that, you are free to provide as much information, with as much detail, as you care to in order to fully explain your company's policies, procedures, and/or processes to maintain technology transfer controls.
- 2) In the following paragraphs you will see the required sections (e.g., Table of Contents, Record or Changes, 1.0 Introduction), along with the required statements (e.g., "If the TTCP inadvertently conflicts with the DTC provisos, the DTC provisos take precedence."), are in Bold text. These sections, or parts thereof (headers, titles), and statements (in bold

text) are mandatory and must be verbatim. Contained within these sections, where text is not bolded (regular text), are requirements you need to address in your TTCP. These will be accompanied by discussion points, provided for your information and guidance. For instance, we'll tell you that each technical data submittal (i.e., package) must have its own unique identifier, but we won't mandate a naming convention. That would be up to you as long as you satisfy the requirement that each and every document (or package) being submitted for approval is uniquely identifiable. We would also explain that this would apply to any revisions to the same. [Bracket] text are empty fields. You should remove the brackets once you replace the bracketed description with your specific information.

- 3) All pages must be numbered. This includes ALL appendices and any other attachments. You may use a local page numbering scheme for your appendices as long as the respective appendices are identified. For example, if Appendix D had a total of 26 pages, you would number the pages D-1 through D-26. It would not be acceptable to just number them 1-26.

TABLE OF CONTENTS w/ SECTION DESCRIPTIONS

TITLE PAGE

The title page must include: **Technology Transfer Control Plan (TTCP)**
[Agreement/License][Amendment Designation]
[Company Name and Address]
[Date]

RECORD OF CHANGES

Summarize the evolution of the TTCP, from initial approval through the latest approval. A tabular format has proven to be effective. At a minimum, include the revision number, submittal/approval dates, and reason for the latest submission (required by latest amendment; changes to internal procedures; etc.)

1.0 INTRODUCTION

1.1 Purpose. For starters, simply identify the purpose of this TTCP. For instance, "This TTCP has been prepared in accordance with approval letter for DTC Case TA [number], dated [date], Proviso # [number]." Also, use this section to discuss and/or clarify any apparent discrepancies, or peculiarities, that may exist between this TTCP submittal and a hard requirement (via proviso) to submit one.

1. For instance, let's say your latest DoS approval is for amendment "D", but since all "D" did was extend the expiration date, there was no TTCP proviso, either to revise the current one or develop a new one. In addition, let's say your DoS approval for the "C" amendment, which was a request for proviso reconsideration, likewise did not require you to revise or develop a TTCP. Your "B" amendment, however, did require a TTCP, but you've been holding off on submitting that TTCP because you wanted to include the two later amendments

of "C" and "D". Okay, now that you have everything, you're ready to submit the TTCP, but how do you do this while avoiding any confusion? First, always submit your TTCP under the latest approval; in this case, that would be "D". Then, in this section, you would explain, that although this TTCP includes all amendments through "D" (which includes "C"), the requirement for the TTCP originates in "B".

2. The original submission for any given TTCP is founded on a proviso somewhere; however, this necessarily may not be true for those being "re-submitted". For instance, a company-wide change to a procedure with regards to technical data handling or foreign national visits would require you to re-submit the TTCP for approval. Our standard TTCP approval letter states that any changes you make to the TTCP, other than for something that's purely editorial (does not add to technical content), requires you to re-submit the revised TTCP to us for approval; for instance, the example cited above. The same approval letter also states that any TTCP which has been changed, or updated, due to purely editorial reasons still must be submitted to DTSA, not for approval, but so we have an up-to-date copy of your latest TTCP.

1.2 Contact Information. Identify a point of contact(s) for this TTCP (this may be an office or an individual), providing phone and fax numbers and email address(es).

2.0 SCOPE

2.1 Authorized Export. Summarize the scope of your export and clearly define the technical data and defense services you will be providing. You should also include any background information that may help the reader understand the full scope of the program, especially if there are multiple parts or stages. It sometimes helps to identify associated licenses or agreements that are either pending or have been approved.

2.2 Summary of Export Approvals. If you have amendments to your basic approval, add a summary of those amendments, starting with the basic. For example, in tabular or bullet format, of your choosing: Basic Agreement is about ...; "A" added scope, to include ...; "B" was RWA'd; "C" added a signatory; etc., all the way through to your current amendment. That way, the reader is able to follow the evolution of this agreement, via amendments. Also, include the date the amendment was approved as it's not always legible on the soft copy. You must also include the statement: **If the TTCP inadvertently conflicts with the DTC provisos, the DTC provisos take precedence.**

2.3 Summary of Signatories. Include the names, addresses, and countries for all the signatories to the agreement, U.S. and foreign alike, with a brief description of roles and responsibilities of each.

2.4 Sublicensing. Identify whether sublicensing (subcontracting) is authorized.

2.5 Separate or Independent Export Authority. Identify whether these are authorized and by whom (they would all be U.S. persons).

3.0 MONITORING PROVISOS

Short and to the point, identify (paraphrase or take verbatim) all Provisos (by number and which amendment, as applicable) related to monitoring. This includes requirements for: a TTCP; DTSA Monitoring Services (technical data review and/or monitoring); reimbursement procedure; other (e.g., data review by other government agencies, etc.). This will serve to let the reader know the extent of DTSA's (or the USG's) involvement in this export authority.

4.0 EXPORT COMPLIANCE TRAINING

4.1 U.S. Persons. As the applicant, it's your responsibility to ensure ALL U.S. persons, who represent U.S. signatories to your agreement, are trained on the limitations and conditions of your export authorization. You will discuss that here.

4.2 Foreign Nationals. As above, this also applies to any foreign national (i.e., employee, not the foreign signatories to the agreement) working for you. However, this is contingent upon your already having a valid export license for, or agreement with, the foreign national. That being the case, you must then cite the relevant export authorizations; otherwise, this section would not apply to you.

4.3 Description of Training. You need to describe contents (e.g., TTCP, general ITAR awareness, company policies pertaining to export, etc.); frequency of training, at a minimum at least twice a year, initial followed by semi-annual, semi-annual and annual thereafter; who trains, if not by name, at least by office symbol; training certificates, signifying successful completion of your training program and mandatory prior to the individual's participation in any export activity governed by your agreement or license.

5.0 TECHNICAL DATA

5.1 Documentation Control.

5.1.1 Unique Document Identifier. Documents or packages thereof identified for export must have a unique identifier; i.e., a document control number. This means no two technical data exports, whether a simple one-pager or a complex CDR package or revisions to same, should have the same identifier, or "number" (which could be alphanumeric). Each export must be uniquely identifiable.

5.1.2 Internal Processes. Describe your internal process for documentation control, from the moment the technical data is generated to the time it's exported, to include procedures for maintaining a technical data library. In the end, you should be able to answer these types of questions: Who in your organization makes the determination on whether a data package is technical or not? How do you mark your documents after they've been approved, internally, for export? Who's your POC for documentation control? Are the technical data packages for your library archived electronically (soft format) or

in hard copy format, and what are those procedures? What guidance is provided to your employees: handbooks, training, etc.?

5.1.3 Documentation Markings. All technical data for release must be marked, at a minimum, with the following: 1) DTC Case Number (export authorization, this includes identifying the correct amendment); 2) the unique document identifier. Another common marking, although not mandatory, is an ITAR warning (disclaimer) against unauthorized re-export (third-party transfer) of the controlled data.

5.2 DTSA Review. Simply state whether this is a requirement, and as applicable, cite the proviso. If it does not apply, then say "Not Applicable". Also, include the following: **[Your company name] acknowledges that DTSA has up to 15 calendar days to review technical data submitted for approval. The first full normal business day after DTSA's receipt of the submission is counted as Day 1 (of the 15).** For instance, submittals received anytime on Friday doesn't start counting toward the 15 days until the following Monday, which starts the "clock" as Day 1.

5.3 USXPORTS Spacelink System. If DTSA review of technical data is required, you must include the following subsections as written and verbatim, where noted; however, if none of this applies, then simply say "Not Applicable".

5.3.1 Requirement. In accordance with DTC Proviso #[number], all technical data to be released to the consignees will be submitted to DTSA/SD via the USXPORTS Spacelink System ("Spacelink"). Alternative methods may only be used if first coordinated, then approved, by DTSA. [Your company name] will contact DTSA (703-325-3049, ttcp.review@osd.mil) to initiate new Spacelink user accounts.

5.3.2 Field Descriptions. The following information must be entered, as indicated, when preparing technical data (or any other Document Type, explained in more detail below) for submission into Spacelink. Fields identified with an asterisk (*) indicate mandatory fields.

- 1) **License Number*.** Limit this to the DTC Case Number--the actual number--itself. Don't include "TA" or "TAA" or "MA" or "DSP-5", etc. Also, it's imperative to cite the correct export authority, which includes identifying the correct amendment (if applicable). Misidentifying any of this information, amendment included, will result in a REJECTION of the submittal.
- 2) **Document Title*.** Self-explanatory, enter the title of the document. In most cases, this should correspond to the filename.
- 3) **Program Name*.** The only requirement for this field is to keep the name the same for all submittals against the corresponding export authorization. For instance, if submittals against TA 1234-04 is named "XYZ", then that is the name which consistently must be used for any subsequent submittal against that particular export

authority. It should not be "XYZ Program", for instance; it should be just "XYZ".

- 4) **Program Description.** Self-explanatory.
- 5) **Document Type*.** This drop-down menu provides the following choices: Technical Data; Request for Waiver; Information Only; License File. Descriptions of each follow. Misidentification of a Document Type will result in a REJECTION of the submittal.
 - a) **Technical Data.** Majority of the Document Type will fall into this category.
 - b) **Request for Waiver.** Use this Document Type to request a waiver for technical data review.
 - c) **Information Only.** Use this Document Type when providing additional, or "FYI-type", data. Files marked as Information Only will not receive a disposition (i.e., Approve or Reject) from DTSA, only an acknowledgement that it was received.
 - d) **License File.** As the name implies, it's just that, a copy of the export authority. This is described in greater detail below.
- 6) **Destination Company*.** Identify the foreign company(ies) that will receive the subject export.
- 7) **Destination Country*.** List the countries of the foreign signatories (for agreements) or the end-users (for licenses), as the case may be, to receive the subject export. Failure to do so is will result in a REJECTION of the submittal.
- 8) **Needed by Date.** Identify a need, if there is one.
- 9) **Unique Document Identifier.** Each technical data submission **MUST BE** uniquely identifiable. If it's not the same as, it should correspond to the document control number assigned to this particular export package. No two submittals should have the same number.
- 10) **Comments.** Use this space to provide any additional information (e.g., unique characteristics, background, etc.) that will help facilitate the data review.
- 11) **E-Mail to Receive Disposition Notification.** Self-explanatory.

5.3.3 Uploading License Files. File copies of the export authorization (executed TAA, its attachments, the DTC Approval Letter; any amendments thereto; TTCP and TTCP Approval Letter) **MUST BE**

submitted via Spacelink before ANY technical data submission against the export authorization is accepted for review. These must be in Adobe PDF. Uploading License Files is a “one-time” action which will place all export authorizations into a central repository. Failure to comply will result in a REJECTION of the submittal.

1) What Constitutes a License File.

- a) The executed export authority (e.g., TAA, MLA, GC, DSP-5, etc.), with or without signatures if an agreement, and the DTC Approval Letter. This includes all amendments thereto (each with its own State approval letter).**
- b) Attachments (e.g., Exhibits, Appendices, SOW, etc.) directly related and applicable to the respective export authority. This does not include copies of previous amendments, related licenses, or corresponding DTC approvals which may have been part of the export request originally submitted to State.**
- c) An approved TTCP and the corresponding DTSA Approval Letter.**

2) File Format. Each file is limited to a single export authority (e.g., base TAA, absent any amendments; an amendment less the base agreement or previous amendments) and must have the following elements or "parts", in the order described: respective USG approval (i.e., either approval from DTC or DTSA); the export authority; attachments.

3) Naming the File and Document Title. For each type of License File identified below, the following corresponding naming convention is to be used:

- a) Export Authority:**
[DTC Case No.][Amendment] [Type, e.g., "TAA", "MLA", "DSP-5"]
- b) TTCP:**
[DTC Case No.][Amendment] TTCP [Rev #, as applicable]

4) Example: TA 1234-04B, TTCP Required (already approved by DTSA)

- a) There will be 4 separate files, each identified as a License File, uploaded into Spacelink: i) for the basic agreement, file named "1234-04 TAA"; ii) for Amendment A, file named "1234-04A TAA"; iii) for Amendment B, file named "1234-04B TAA"; iv) for the DTSA-approved TTCP, file named "1234-04B TTCP".**
- b) Each respective file will consist of the following parts: i) for "1234-04 TAA", the corresponding DTC Approval Letter, up front,**

followed by the executed TAA, followed by the attachments; ii) for "1234-04A TAA", its corresponding DTC Approval Letter, up front, followed by the executed amendment, followed by the attachments; iii) for "1234-04B TAA", its corresponding DTC Approval Letter, up front, followed by the executed amendment, followed by the attachments; iv) for "1234-04B TTCP", the TTCP Approval Letter signed by DTSA, up front, followed by the TTCP. TTCP Appendices A and B are not required to be part of the "1234-04B TTCP" file since this information is available already in Spacelink as disparate License Files, i.e.: "1234-04 TAA", "1234-04A TAA", and "1234-04B TAA"--Items i-iii, above. Any other appendix, however, must be included as part of the TTCP License File submission.

5.3.4 User Accounts.

- 1) [Your company name] will ensure Spacelink user accounts remain current. [Your company name] will email the Spacelink Technical Support Team at polspanhelpdesk@osd.mil with updates and changes to current user accounts (e.g., updates to email addresses or phone numbers; deleting current accounts, etc.).
- 2) New accounts may only be initiated by contacting DTSA/SD at 703-325-3049 and/or ttcp.review@osd.mil.
- 3) [Your company name] acknowledges that user accounts which show no log-in activity for a period of 120 days or more will be deleted.

5.3.5 Technical Support. This contact, 703-696-0610 and/or polspanhelpdesk@osd.mil, is reserved for those who have valid Spacelink user accounts. Technical Support includes issues related to user accounts (resetting passwords, updating user account information such as emails and phone numbers, etc.) and Spacelink functionality (processes and procedures, how it works, why it doesn't work, why it isn't working, problems with uploading data, unable to establish connections, etc.).

5.3.6 Programmatic Support. This contact, 703-325-3049, is reserved for those issues, questions, or concerns related directly to the export authority. Programmatic Support can be used to obtain status on a workflow (the data submittal); seek clarification on DTSA's comments; obtain or verify acceptable, DTSA-approved file formats (PDF, Word, etc.)

5.4 Request for Waiver Process. If you have a proviso which requires DTSA review of technical data, chances are you also have specific proviso language which authorizes you to pursue DTSA approval for waiver of similar data. If you intend to take advantage of this option, you must explain, in detail, the process and procedure

to that end. If, on the other hand, you don't intend to use it, then you should state as much. Naturally, if this doesn't apply at all, then you would state "Not Applicable".

5.5 Definition of Terms. Define your terms; e.g., system, subsystem, part, component, assembly, test results, etc., especially as it relates to your provisos. For instance, if you have a proviso which exempts "test results", it's in your best interest to establish a definition for this up front, so when it comes time for you take advantage of the exemption, there's no second-guessing your interpretation or implementation. By not defining terms, it then boils down to our interpretation; that leaves little to no negotiating room when questions arise concerning these terms and their use in technical data to be released.

6.0 TECHNICAL INTERCHANGE

6.1 General Requirements. A technical interchange is any activity in which technical data is exported and/or defense services are provided: technical interchange meetings; any type of joint operation; teleconferences; etc. The following, at a minimum, demonstrate technology transfer controls during these technical interchanges.

6.1.1 Attendance Roster. This is required for ALL activities (it must be accomplished at the beginning and made available for DTSA review) and it must include, at a minimum: name, nationality, signatory affiliation, and company. For "signatory affiliation", attendees (participants and non-participants, alike) must identify the signatory (in the case of an agreement) with which they are associated.

6.1.2 Non-Participants. The Activity Chair (whoever's chairing the meeting) must identify all "non-participants" to the attending DTSA Monitor prior to the meeting start. Non-participants are U.S. persons who are not signatories to the agreement and are there, ultimately, at your invitation. These U.S. persons have no export authority, and therefore, may not participate in any of the technical interchange.

6.1.3 Walk-Ins. You'll need to identify a procedure to ensure any person who shows up at technical interchange, whether they're there all day or only step in for a minute, is accounted for. This, again, points back to the Attendance Roster, which must be wholly complete.

6.1.4 Responsibilities of the Activity Chair.

- 1) Copies of the Export Authority.** Whoever is chairing the technical interchange must have in his/her possession copies of the complete export authority. This may be in hard copy or soft copy; however, whichever the medium, it all must be in the same format. This includes the TTCP, its approval, and ALL Essential Elements (which includes, as defined above, copy of the executed agreement or license, complete with attachments; any amendments thereto, complete with attachments; DTC Approval Letter(s)).

- 2) **Who's Who.** The Chair must also readily be able to identify and verify all attendees and whether those who are U.S. persons have had their export compliance training.
- 3) **Technical Data.** The Chair must have, at the minimum, a list of the technical data approved for release in support of the technical interchange.
- 4) **Change Pages to Approved Technical Data.** It's the Chair's responsibility to notify the attending DTSA Monitor of any change pages made to an approved documents prior to its discussion or presentation. Naturally, the presumption is these changes are strictly editorial, as any other change involving the addition of technical content or technologies would require subsequent DTSA review.

6.2 Specific Controls. The major categories of technical interchanges are meetings, telecons, and operations. For each category, you must define your technology control procedures. For instance, how you control your export will be different if it's held in your own facility versus one held in a customer's or a subcontractor's. You fully control the one, yours, but not the other, which means you have different considerations. Take that one step further. What procedures will be in place for meetings abroad, in a foreign person's facility? There, you have to maintain positive control of technical data at all times; you can't leave it in a room or office and just lock the door. You get the idea. Here are some specific topics you must address.

6.2.1 Meetings. Defined, a meeting is a face-to-face technical interchange which does not involve hardware. Defense services are provided and technical data exported. So you need to discuss both your control of the environment and your controls during the interchange. You don't need to repeat that discussed above, under the general requirements for technical interchanges; rather, focus on peculiarities or nuances. That aside, we expect most of your discussion would revolve around physical controls you have or will have in place, or any limitations thereof. You must also identify potential meeting locations in the U.S. and abroad. It's sufficient to identify which company's facilities, including any that might be a subcontractor's.

6.2.2 Telecons. Defined, a telecon is just that, a teleconference. Each participating party, individually or as a whole, either calls a bridge line or a "personal" line (e.g., office, conference room, etc.), the latter of which normally has some kind of teleconferencing capability. Be wary, as a telecon quickly becomes a meeting once you have U.S. and foreign persons in the same room, regardless of whether anyone else is being teleconferenced in. Therefore, you must clearly define the telecon to be in accord to that stated herein. Also, discuss any nuances or differences in the way you handle telecons from meetings. Much of the controls will be the same, but there certainly are differences. For instance, as telecons aren't face-to-face, you need to ensure all participants, including DTSA if we're monitoring, have the same technical data. Will you be faxing or emailing those? How soon will

you do this prior to the start of the telecon? You'll need to define these procedures. You should also mention the norm for your telecons, whether you have a bridge set up for participants call or you call each yourselves, etc.

6.2.3 Operations. Defined, an operation is a technical interchange in which defense services are provided, technical data exported, and associated hardware (i.e., defense articles) involved. Major operations, such as launch integration and launch, would have already been clearly defined in your scope of activities. The State approval, in those instances, would have provisos requiring you to submit specific appendixes to the TTCP which govern your activities and controls thereon. That being the case, the purpose of this section is for you to define those operations and your controls during those operations, which will or may be required and are not specifically called out elsewhere. For instance, your efforts may require you to integrate your payload with your foreign partner's spacecraft. Something to consider and address is how you will control technical data (e.g., drawings, procedures, schematics, etc.) that your technicians or engineers integrating the hardware need but do not intend to export to (i.e., share with) the foreign spacecraft manufacturer.

6.2.4 Other. This is space for anything not captured above. Same instructions apply.

6.3 DTSA Monitors. The following must be included in this section, verbatim (as denoted by the bold text). If this section does not apply--i.e., monitoring is not required--state "Not Applicable". **Attending DTSA Monitors will not, unless previously coordinated, review data on-site. They may, however, review change pages to technical data already approved for release.** If you require or expect the Monitor to review data real-time, such as during major operations or launch, then so state this when submitting your request for monitoring support.

6.4 Notification Requirements. Requests for monitoring support must be IAW the conditions of your export authorization. Address the headers below. If this section does not apply, state "Not Applicable".

6.4.1 Timelines. Notification timelines for monitoring support are as follows: 40 calendar days for overseas activities; 15 calendar for activities which are stateside; 5 calendar days for telecons. For overseas travel, we need this time to coordinate and obtain the requisite approvals (e.g., country clearances, visas) to travel abroad. We, too, are subject to firm timelines within which we must work.

6.4.2 DTSA POC. All requests for, and any changes to, DTSA monitoring support **MUST BE** submitted in writing, via fax (703-325-7522) or email (Monitor_Request@osd.mil). Follow-up questions may be addressed by calling 703-325-3174. DTSA's Space Directorate's Operation Division (SDO) will normally reply within four business hours to confirm receipt--and only receipt--of the request. DTSA/SDO then has up to another four business hours to contact [your company's name POC], with a response

of: approve (i.e., implying allocation of resources); deny (with rationale, e.g., "didn't meet notification timeline", etc.); need clarification and/or additional information. To reemphasize, requests for DTSA monitoring support is official ONLY when it is submitted to DTSA/SDO. DTSA accepts no exceptions to this policy.

6.4.3 The Request. Your requests for monitoring support must include, at the very minimum, the following: 1) export authorization, and if citing more than one, explanation of how such will be conducted; 2) title of activity; 3) location and dates of activity; 4) preliminary agenda, with start/end times, identifying topics of discussion; 5) list of participants (may be identified by signatory); 6) number of Monitors required, and if more than one, justification for each (e.g., splinters on day so-and-so, 24-hour shifts, etc.); 7) your POC, with full contact information (name, phone number(s), fax number, email address). You may contact 703-325-3174/1701 for a copy of the DTSA Meeting Notification template.

7.0 PHYSICAL SECURITY

Without physical security considerations, there's no way to adequately protect controlled technologies. At a minimum, you must address each of the following, and where appropriate, cite (e.g., specific company procedure/document number, etc.) and paraphrase or take excerpts from your existing and/or standard security procedures which directly relate to this TTCP and the controls therein. If a particular subsection below does not apply, then simply state that.

7.1 Physical Barriers/Separators. You will need to address the use of physical barriers/separators, or the like, if your plans include taking foreign persons into areas which afford visual access to defense articles not authorized for export under the current approval. For example, a large high bay with multiple cells may contain more than a foreign customer's satellite; there may be other commercial or USG satellites in work adjacent to that authorized for export. In such instances, you would discuss your plans and procedures for ensuring foreign persons only have access to that authorized.

7.2 Badges and Badging. The different types (visitor, U.S. vs foreign, escort-required, non-escort required, contractor, government reps, etc.) and privileges that go along with each (access here, access there, no access wherever, etc.); distinguishing characteristics that sets one type of access from another (colors, borders, stripes); requirements, if any, to wear badges between waist and shoulders; what happens if a person wearing an escort-required badge is found without an escort; etc. If you aren't able to provide a chart with examples of all the types of badges, you must describe them.

7.3 Facility Layout. Identify or describe where the "common" areas are, if you have them, or areas in which even escort-required personnel don't need an escort (restrooms, etc.). Provide a layout (charts/diagrams) of the facility, highlighting program areas, entrance, "common" areas, location of card readers, cipher locks, emergency exits, etc.

7.4 Foreign Person Residence. If you intend to have foreign persons as residents in your facility(ies), you must describe these procedures and processes: location of their office space(s) indicated on a floor plan; how they check in/out; when they're authorized to be in your facility (regular business hours versus off-duty hours); badging, if different or unique; escort requirements (work areas, cafeteria, etc.); etc.

7.5 Computer/Networked Systems. Describe your procedures regarding foreign persons and their access or no access, as the case may be, to computer and/or networked systems: passwords; only stand-alone systems; etc.

7.6. Access for DTSA Monitors. If monitoring is required, you'll see a proviso like this: "Monitors MUST be granted full access to applicant facilities, equipment, and documents." This is pretty clear. You will describe the process which complies with this proviso: who, what, where, how from the time the Monitor shows up at your facility to the time Monitor leaves. Describe the badge: if it's going to be escort-required, explain in detail why an escort is required and how you intend to satisfy the DoS proviso (this explanation should include a detailed procedure for both normal working and after hours); picture or no picture; etc. Describe the badging process itself and what you need from us and how you will follow-up to ensure there will be no issue with badging BEFORE the Monitor shows up at your facility: proof of citizenship; social security number; photo ID; etc.

8.0 SUBLICENSING

8.1 Non-Disclosure Agreements. If sublicensing is authorized, there will be a requirement, via proviso, for each sublicensee to execute an NDA incorporating all the provisions of the basic agreement which refer to the U.S. Government (USG) and the Department of State (i.e., 22 CFR 124.8 and/or 124.9). Tell us whether sublicensing is authorized, and if so, your process to satisfy this requirement.

8.2 Sublicensees. Identify the sublicensees.

APPENDICES

The information required in Appendix A and B are mandatory, regardless of where it resides (e.g., in soft copy format, such as in Spacelink). The requirement for appendices beyond C depends on the limitations and conditions of your export authority. You also are free to add your own appendices, as you deem appropriate.

A. DTC Case [number, whether agreement (preface with TA, MA, or AG) or license]

1. Include the base agreement through the current amendment (the subject of this TTCP), as executed by all parties. Once again, for draft submittals, you may take advantage of an exception to this by ensuring this information is available in Spacelink as a License File. In those instances, you then would simply state, "DTC Case No. [case number] is available in Spacelink as a License File" or something similar.

2. Sub-appendices must be identified as A.1, A.2, etc., starting with the current authorization. For instance, if this were for Amendment C, that amendment (complete with attachments) would be A.1; "B" would be identified as A.2; "A", as A.3; the basic agreement, A.4. Don't forget to number the pages.
3. The attachments for each respective A sub-tier, such as A.1, would be labeled "A.1 - Attachment 1"; this would be useful for relevant TAA attachments (such as exhibits to the TAA).

B. DTC Approval Letters

1. Self-explanatory, includes, for the basic agreement (or license) and each amendment, the corresponding DoS approval(s).
2. These should correlate one-for-one with each export authority identified in Appendix A. For instance, for the example cited in above, the DTC Approval Letter for "C" would be B.1; for "B", B.2; "A", B.3; basic agreement, B.4.
3. Don't forget to include "revised" approvals. In some instances, we've seen as many as three revisions to a single, basic agreement.

C. Security Plan (if required)

D. Joint Operations Plan (if required)

E. Training Plan (if required)

F. Transportation Plan (if required)

G. Debris Recovery Plan (if required)